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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Samuel D. CONZONE et al.

Serial No.: 09/855,741 *nm*

Group Art Unit: 1775

Filed: May 16, 2001

Examiner: Unassigned

For: PHOTONIC DEVICES FOR OPTICAL AND OPTOELECTRONIC INFORMATION PROCESSING

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.97

Assistant Commissioner for Patents
Washington, D. C. 20231

Sir:

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CITED MATERIALS

Applicant(s) wish to disclose the following information, listed in the attached form PTO-1449.

- ☐ Copies of materials listed but not attached were cited in parent application Serial No. _____.
- ☐ Copies of materials listed but not attached were cited in an International Search Report dated ____; receipt of any International Search Report and copies of references were confirmed by the PCT International Division of the U.S. PTO in the Notice of Acceptance mailed _____.
- ☐ Also included are the pending U.S. applications listed below, copies of which are attached:

FEES

- ☒ No fee is required for this Information Disclosure Statement because:
 - ☐ This Information Disclosure Statement is being filed within three months of the filing date of a national application (other than a CPA) under § 1.53(d) or within 3 months of the date of entry of the national stage under § 1.491 in an international application;
 - ☒ This Information Disclosure Statement is being filed before the mailing of a first action on the merits;
 - ☐ This Information Disclosure Statement is being filed after a first action on the merits but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that closes prosecution in the application, and is accompanied by a certification below.

- ☐ A fee is required for this Information Disclosure Statement:
- ☐ This Information Disclosure Statement is being filed after a first action on the merits but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311 or an action that closes prosecution, and is accompanied by the fee set forth in §1.17(p).
- ☐ This Information Disclosure Statement is being filed after the mailing date of a final rejection or a notice of allowance under § 1.311 or an action that closes prosecution, but before the payment of the issue fee, and is accompanied by the fee set forth in § 1.17(p) and a certification below.

CERTIFICATION

- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c), more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

If appropriate, attached is a check in the amount of \$_____. However, the Commissioner is hereby authorized to charge fees under 37 CFR 1.16 and 1.17 which may be required to facilitate this filing, or credit any overpayment to Deposit Account #13-3402, two copies of this paper are attached for this purpose.

Respectfully submitted,



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